

### DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **ACTIVITY DEPENDENT NEUROTROPHIC FACTOR III (ADNF III)** the specification of which \_\_\_ is attached hereto or **X** was filed on **November 6, 1998** as Application No. **09/187,330** and was amended on \_\_\_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

#### Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
PCT	PCT/US98/02485	2/6/98	Yes <input checked="" type="checkbox"/> No
			Yes No

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/037,404	2/7/97

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
		Patented Pending Abandoned
		Patented Pending Abandoned
		Patented Pending Abandoned

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) of the Government of the United States of America as represented by the Secretary of the Department of Health and Human Services, Office of Technology Transfer, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

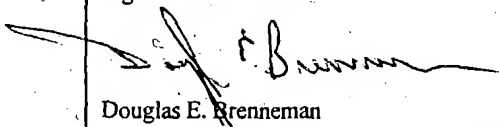
Robert Benson, Reg. No. 33,612  
Steven M. Ferguson, Reg. No. 38,448  
James C. Haight, Reg. No. 25,588  
John P. Kim, Reg. No. 38,514  
Susan S. Rucker, Reg. No. 35,762  
David R. Sadowski, Reg. No. 32,808  
Jack Spiegel, Reg. No. 34,477

Send Correspondence to Appointed Associate Attorney or Agent Address:  <b>TOWNSEND and TOWNSEND and CREW LLP</b> <b>Two Embarcadero Center, 8th Floor</b> <b>San Francisco, CA 94111-3834</b>	Direct Telephone Calls and Facsimiles to Appointed Associate Attorney or Agent:  <b>Name: Annette S. Parent</b> <b>Reg. No. : 42,058</b> <b>Telephone: (415) 576-0200</b> <b>Fax: (415) 576-0300</b>
---	---

Full Name of Inventor 1	Last Name Gozes	First Name Illana	Middle Name or Initial	
Residence & Citizenship	City Ramat, Hasharon	State/Foreign Country Israel	Country of Citizenship Israel	
Post Office Address	Post Office Address 14 Hamal Street	City Ramat, Hasharon	State/Country Israel	Zip Code
Full Name of Inventor 2	Last Name Brenneman	First Name Douglas	Middle Name or Initial E.	
Residence & Citizenship	City Damascus	State/Foreign Country Maryland	Country of Citizenship USA	
Post Office Address	Post Office Address 10601 Santa Anita Terrace	City Damascus	State/Country Maryland	Zip Code 20872
Full Name of Inventor 3	Last Name Bassan	First Name Merav	Middle Name or Initial	
Residence & Citizenship	City Givat-Poleg, Natanya	State/Foreign Country Israel	Country of Citizenship Israel	
Post Office Address	Post Office Address 15A Ziporen Street	City Givat-Poleg, Natanya	State/Country Israel	Zip Code

Full Name of Inventor 4	Last Name Zamostiano	First Name Rachel	Middle Name or Initial	
Residence & Citizenship	City Hod-Hasharon	State/Foreign Country Israel	Country of Citizenship Israel	
Post Office Address	Post Office Address 17 Yeshurun Street	City Hod-Hasharon	State/Country Israel	Zip Code

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18 of the United States Code, Section 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Illana Gozes	Signature of Inventor 2  Douglas E. Brennen	Signature of Inventor 3  Merav Bassan
Date	Date 2/16/99	Date

Signature of Inventor 4  Rachel Zamostiano		
Date		

187864

### DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought, on the invention entitled: **ACTIVITY DEPENDENT NEUROTROPHIC FACTOR III (ADNF III)** the specification of which \_\_\_ is attached hereto or X was filed on November 6, 1998 as Application No. 09/187,330 and was amended on \_\_\_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

#### Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
PCT	PCT/US98/02485	2/6/98	Yes X No
			Yes No

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/037,404	2/7/97

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
		Patented Pending Abandoned
		Patented Pending Abandoned
		Patented Pending Abandoned

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) of the Government of the United States of America as represented by the Secretary of the Department of Health and Human Services, Office of Technology Transfer, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

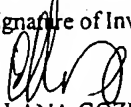
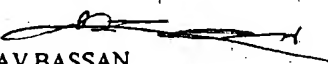

Robert Benson, Reg. No. 33,612  
Steven M. Ferguson, Reg. No. 38,448  
James C. Haight, Reg. No. 25,588  
John P. Kim, Reg. No. 38,514  
Susan S. Rucker, Reg. No. 35,762  
David R. Sadowski, Reg. No. 32,808  
Jack Spiegel, Reg. No. 34,477

Send Correspondence to Appointed Associate Attorney or Agent Address:  <b>TOWNSEND and TOWNSEND and CREW LLP</b> <b>Two Embarcadero Center, 8th Floor</b> <b>San Francisco, CA 94111-3834</b>	Direct Telephone Calls and Facsimiles to Appointed Associate Attorney or Agent:  Name: Annette S. Parent Reg. No. : 42,058 Telephone: (415) 576-0200 Fax: (415) 576-0300
---	---

Full Name of Inventor 1	Last Name Gozes	First Name Illana	Middle Name or Initial	
Residence & Citizenship	City Ramat, Hasharon	State/Foreign Country Israel	Country of Citizenship Israel	
Post Office Address	Post Office Address 14 Hamal Street	City Ramat, Hasharon	State/Country Israel	Zip Code
Full Name of Inventor 2	Last Name Brenneman	First Name Douglas	Middle Name or Initial E.	
Residence & Citizenship	City Damascus	State/Foreign Country Maryland	Country of Citizenship USA	
Post Office Address	Post Office Address 10601 Santa Anita Terrace	City Damascus	State/Country Maryland	Zip Code 20872
Full Name of Inventor 3	Last Name Bassan	First Name Merav	Middle Name or Initial	
Residence & Citizenship	City Givat-Poleg, Natanya	State/Foreign Country Israel	Country of Citizenship Israel	
Post Office Address	Post Office Address 15A Ziporen Street	City Givat-Poleg, Natanya	State/Country Israel	Zip Code

Full Name of Inventor 4	Last Name Zamostiano	First Name Rachel	Middle Name or Initial	
Residence & Citizenship	City Hod-Hasharon	State/Foreign Country Israel	Country of Citizenship Israel	
Post Office Address	Post Office Address 17 Yeshurun Street	City Hod-Hasharon	State/Country Israel	Zip Code

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18 of the United States Code, Section 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  DOUGLAS E. BRENNEMAN	Signature of Inventor  	Signature of Inventor 2  ILLANA GOZES
Date	Date	Date 3/30/99
Signature of Inventor 3  MERAV BASSAN	Signature of Inventor 4  RACHEL ZAMOSTIANO	Signature of Inventor  
Date 3/30/99	Date 3/30/99	Date

"Express Mail" Label No. EV 332109427 US

Date of Deposit July 17, 2003

**PATENT**  
Atty. Docket No.: 015280-291300US  
Client Ref. No.: E-147-1996/1-US-06

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Address" service under 37 CFR 1.10 on the date indicated above and is addressed to:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

By:

Jo Ann Honcik Dallara

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Gözes et al.

Application No.: To be assigned

Filed: July 17, 2003

For: ACTIVITY DEPENDENT  
NEUROTROPHIC FACTOR III (ADNF  
III)

Examiner: To be assigned

Technology Center/Art Unit: To be  
assigned

APPOINTMENT OF ASSOCIATE  
ATTORNEYS UNDER 37 CFR § 1.34(b)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450



**20350**

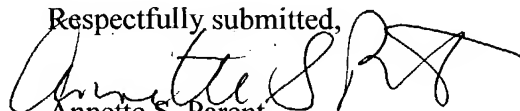
PATENT TRADEMARK OFFICE

Sir:

Under 37 CFR §1.34(b), applicants' undersigned principal attorney of record appoints Beth L. Kelly, Registration No. 51,868, and Practitioners at Customer No. 20350, all of the law firm of Townsend and Townsend and Crew LLP, as associate attorneys to prosecute this case and to transact all business in the Patent and Trademark Office connected therewith. The associate attorneys' address and telephone number are as follows.

Townsend and Townsend and Crew LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Phone: (415) 576-0200

Respectfully submitted,

  
Annette S. Parent  
Reg. No. 42,058

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: (415) 576-0200  
Fax: (415) 576-0300

SF 1477567 v1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Gozes et al.

Serial No.: 09/187,330

Filed: November 6, 1998

For: ACTIVITY DEPENDENT  
NEUROTROPHIC FACTOR III (ADNF III)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Examiner:

Art Unit: 1643

APPOINTMENT OF ASSOCIATE  
ATTORNEYS AND AGENTS BY  
PRINCIPAL ATTORNEY OR AGENT  
UNDER 37 CFR §1.34(b) AND MPEP  
402.02

Sir:

Under 37 CFR §1.34(b) and MPEP 402.02, the undersigned principal attorney or agent of record hereby appoints the following representatives from the law firm of TOWNSEND and TOWNSEND and CREW LLP, Two Embarcadero Center, 8th Floor, San Francisco, California 94111-3834, telephone: (415) 576-0200, as associate attorneys and/or patent agents in this application with full powers to prosecute this case and to transact all business in the Patent and Trademark Office connected therewith:

Philip H. Albert, Reg. No. 35,819  
Hector A. Alicea, Reg. No. 40,891  
Randolph T. Apple, Reg. No. 36,429  
Kevin L. Bastian, Reg. No. 34,774  
Guy Chambers, Reg. No. 30,617  
Karen B. Dow, Reg. No. 29,684  
Gregory P. Einhorn, Reg. No. 38,440  
James F. Hann, Reg. No. 29,719  
M. Henry Heines, Reg. No. 28,219  
James M. Heslin, Reg. No. 29,541  
Laurence J. Hyman, Reg. No. 35,551  
Charlie E. Krueger, Reg. No. 30,077

Joe Liebeschuetz, Reg. No. 37,505  
Jeffry S. Mann, Reg. No. 42,837  
Annette S. Parent, Reg. No. 42,058  
Steven W. Parmelee, Reg. No. 31,990  
Timothy L. Smith, Reg. No. 35,367  
William M. Smith, Reg. No. 30,223  
Joseph R. Snyder, Reg. No. 39,381  
John R. Storella, Reg. No. 32,944  
Eugenia Garrett-Wackowski, Reg. No. 37,330  
Ellen Lauver Weber, Reg. No. 32,762  
Kenneth A. Weber, Reg. No. 31,667  
Michael E. Woods, Reg. No. 33,466

Dated: August 12, 1999

Respectfully submitted,

United States Department of Health and Human  
Services

By 

Susan S. Rucker

Reg. No.: 35,762

Office of Technology Transfer

National Institutes of Health

6011 Executive Boulevard, Suite 325

Rockville, Maryland 20852

Telephone: (301) 496-7056





015280. 29/1200US Asparent  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JUNE 01, 2000

PTAS  
TOWNSEND AND TOWNSEND AND CREW LLP  
ANNETTE S. PARENT  
TWO EMBARCADERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834



\*101336760A\*

## CORRECTED NOTICE

### UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/22/1999

REEL/FRAME: 010414/0534  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
GOZES, ILLANA

DOC DATE: 11/14/1999

ASSIGNOR:  
BASSAN, MERAV

DOC DATE: 11/14/1999

ASSIGNOR:  
ZAMOSTIANO, RACHEL

DOC DATE: 11/14/1999

ASSIGNEE:  
RAMOT UNIVERSITY AUTHORITY FOR  
APPLIED RESEARCH AND INDUSTRIAL  
DEVELOPMENT, LTD.  
RAMAT AVIV  
TEL AVIV, ISRAEL 61392

SERIAL NUMBER: 09187330  
PATENT NUMBER:

FILING DATE: 11/06/1998  
ISSUE DATE:

RECEIVED  
92 JUN 21 1999  
U.S. PATENT AND TRADEMARK OFFICE

MARGARET LASALLE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

M2D 11/22/99

05-31-2000

orney Docket No.: 015280-291200

FORM PTO-1535

(Rev. 6-93)

To the Honorable Asst. Commissioner for

1. Name of conveying party(ies):

Illana Gozes, Merav Bassan and Rachel Zamostiano

Additional name(s) of conveying parties attached? ☐ Yes ☒ No.

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date: 11/14/99 (all)

101336760

Name: Ramot University Authority for Applied Research and Industrial Development, Ltd.

Internal Address:

Street Address: Ramat Aviv

City: Tel Aviv State: Israel ZIP: 61392

Additional names and addresses attached? ☐ Yes ☒ No

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/187,330 Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Annette S. Parent  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): ———— \$40.00

- ☐ Enclosed ☒ Charge Fees to Deposit Account  
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true and correct copy of the original document.

Annette S. Parent  
Name of Person Signing  
Atty Reg. No. 42,058

Signature

Date

11/17/99

Total number of pages including cover sheet, attachments and document 3

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover to:

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12/03/1999 DNGUYEN 00000097 201430 09187330

Asst. Commissioner for Patents  
Box: Assignments  
Washington, D.C. 20231

01 FC:581

40.00 CH

1045007

Attorney Docket No.: 15330-29120

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Ilana Gozes, of 14 Hamal Street, Ramat, Hasharon, Israel 47445, Marav Bassan of 15A Ziporen Street, Givat-Poleg, Natanya, Israel 42207 and Rachel Zamostiano of 17 Yeshurun Street, Hod-Hasharon, Israel hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: ACTIVITY DEPENDENT NEUTROTROPIC  
FACTOR III (ADNF III)

Date(s) of execution of Declaration: \_\_\_\_\_

Filing Date: 11/6/98

Application No.: 09/187,330; and

WHEREAS, Ramot University Authority for Applied Research and Industrial Development, Ltd. of Ramat Aviv, Tel Aviv, Israel 61392, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignment:

Application No.: 09/187,330

Page 2

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

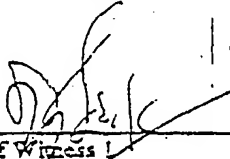
  
\_\_\_\_\_  
Ilana Grozes

Nov 14 1999

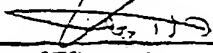
(date)

SIGNATURE WITNESSED BY:

(1) Date: Nov. 14, 1999

  
\_\_\_\_\_  
Signature of Witness 1

(2) Date: Nov. 14 1999

  
\_\_\_\_\_  
Signature of Witness 2

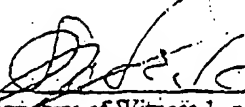
  
\_\_\_\_\_  
Merav Bassan

Nov. 14 1999

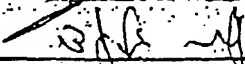
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
SIGNATURE WITNESSED BY:

(1) Date: Nov. 14, 1999

  
\_\_\_\_\_  
Signature of Witness 1

(2) Date: Nov. 14 1999

  
\_\_\_\_\_  
Signature of Witness 2

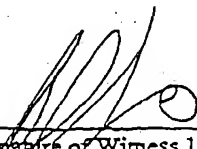
  
\_\_\_\_\_  
Rachel Zamostiano

Nov. 14 1999

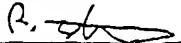
(date)

SIGNATURE WITNESSED BY:

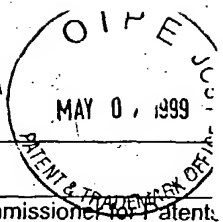
(1) Date: Nov 14, 1999

  
\_\_\_\_\_  
Signature of Witness 1

(2) Date: Nov 14 1999

  
\_\_\_\_\_  
Signature of Witness 2

MD  
5-7-99



05-14-1999



ney Docket No.: 015280-291-2

U.S. Department of Commerce  
Patent and Trademark Office

FORM PTO-1595  
(Rev. 6-93)

To the Honorable Asst. Commissioner for Patents

101037215

ents or copy thereof

1. Name of conveying party(ies):

Douglas E. Brenneman

Additional name(s) of conveying parties attached? ☐ Yes ☒ No.

2. Name and address of receiving party(ies)

Name: The Government of the United States As Represented by the Secretary of the Department of Human Services

Internal Address: National Institutes of Health Office of Technology Transfer

Street Address: 6011 Executive Blvd., Ste. 325

City: Rockville State: Maryland ZIP: 20852

Additional names and addresses attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date: 2/16/99

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A: Patent Application No(s): 09/187,330 Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Annette S. Parent  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account

☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

Annette S. Parent  
Name of Person Signing  
Atty Reg. No.42,058

*Annette S. Parent*  
Signature

May 3, 1999  
Date

Total number of pages including cover sheet, attachments and document 4

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

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Asst. Commissioner for Patents  
Box: Assignments  
Washington, D.C. 20231

1999 U.S. PTO  
10/623272  
07/17/03

ASSIGNMENT

JOINT

WHEREAS, I, Douglas E. Brenneman of 10601 Santa Anita Terrace Damascus, Maryland 20872 employee of the Department of Health and Human Services at the time the invention was made, have invented (title of invention): **ACTIVITY DEPENDENT NEUROTROPHIC FACTOR III (ADNF III)**, for which an application to the Assistant Commissioner for Patents for grant of Letters Patents of the United States of America has been executed by the undersigned

☐ on (date(s) Declaration signed):

☒ is identified as U.S. Patent Application:  
Serial No. 09/187,330

Filed November 6, 1998; and

WHEREAS, the conditions under which said invention was made are such as to entitle the Government of the United States of America under Paragraph 1(a) of Executive Order 10096, to the entire right, title, and interest herein, both domestic and foreign; and

WHEREAS, the Government of the United States of America is desirous of acquiring all domestic and foreign right, title, and interest in the aforesaid invention described in the aforesaid application for Letters Patent of the United States of America; and

NOW, THEREFORE, to all whom it may concern, be it known that for and in consideration of the premises and other valuable considerations, we the undersigned, have sold, assigned, and transferred and by these presents do sell, assign, and transfer unto The Government of the United States of America as represented by the Secretary of the Department of Health and Human Services (hereinafter THE GOVERNMENT), and his successors, the full and exclusive right, title, and interest throughout the United States of America, its territories and dependencies, and within each and every foreign country in which THE GOVERNMENT elects to file the invention described in the aforesaid application for Letters Patent of the United States of America, and all Letters Patents and Registrations which may be granted on the same in the United States of America and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

AND, we hereby authorize and request the Assistant Commissioner for Patents to issue said Letters Patent to THE GOVERNMENT as assignee of the entire right, title, and interest in and to

the same throughout the United States of America, its territories and dependencies, and within each and every foreign country in which THE GOVERNMENT elects to file, for the sole use for the full term or terms for which said Letters Patent and Registrations may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof which may be granted as fully and entirely as the same would have been held by us, had this assignment not been made;

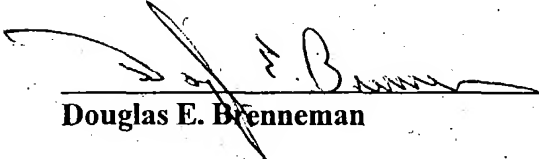
AND, we hereby warrant that there are no outstanding assignments, grants, liens, encumbrances, or agreements either written, oral, or implied with respect to the aforesaid application for Letters Patent which will impair, diminish, limit, or abridge the interest herein conveyed at the time of the execution of this instrument by us;

AND, we hereby agree to execute any and all applications for Letters Patent in the United States of America and foreign countries, and to furnish and deliver to the Secretary, Department of Health and Human Services, upon request, all data and documents, and to execute any papers which may be necessary for the prosecution of any application or applications of Letters Patent or for THE GOVERNMENT to exercise its rights granted hereunder, including communicating to THE GOVERNMENT, its representatives or agents, any facts relating to said invention, including evidence for interference purposes, or for other proceedings, whenever requested, to testify in any interference or other proceedings, whenever requested, and to execute and deliver on request all lawful papers required to make any of the foregoing provisions effective, and likewise make these provisions binding upon our heirs, legal representatives, administrators and assigns, and we shall assist THE GOVERNMENT in every way as may be requested in protecting said invention, provided that any expense of extending such assistance shall be paid by THE GOVERNMENT.

The undersigned hereby grants THE GOVERNMENT or the law firm of Townsend and Townsend and Crew LLP, the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.



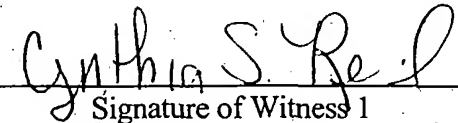
IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

  
\_\_\_\_\_  
**Douglas E. Brenneman**

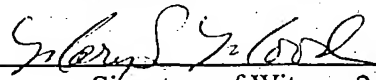
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(date)

SIGNATURE WITNESSED BY:

(1) Date: 2/16/99

  
\_\_\_\_\_  
Signature of Witness 1

(2) Date: 2/16/99

  
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Signature of Witness 2

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*As Parent*



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PTAS

TOWNSEND AND TOWNSEND AND CREW LLP

ANNETTE S. PARENT

TWO EMBARCADERO CENTER, 8TH FLOOR

SAN FRANCISCO, CALIFORNIA 94111-3834

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RECORDATION DATE: 05/07/1999

REEL/FRAME: 9941/0961

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BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BRENNEMAN, DOUGLAS E.

DOC DATE: 02/16/1999

ASSIGNEE:

HUMAN SERVICES, GOVERNMENT OF THE  
UNITED STATES AS REPRESENTED BY  
THE SECRETARY OF THE DEPARTMENT  
OF, THE

6011 EXECUTIVE BLVD., STE. 3325  
NATIONAL INSTITUTES OF HEALTH  
OFFICE OF TECHNOLOGY TRANSFER  
ROCKVILLE, MARYLAND 20852

SERIAL NUMBER: 09187330

PATENT NUMBER:

FILING DATE: 11/06/1998

ISSUE DATE:

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